

A close-up photograph of three people's hands working on a large set of architectural blueprints spread out on a table. One person on the left is holding a yellow pencil, another in the center is pointing with their index finger, and a third on the right is also pointing. A yellow hard hat is visible in the upper left background. The scene is brightly lit, and the blueprints show detailed technical drawings of a building or infrastructure project.

*"TOP DOT"  
Re-Engineering*

# **INDOT Consultant Agreement Process**

# INDOT Vision – Principles to Follow

- FHWA requirements must be satisfied
  - Golden Rule
- FHWA-funded LPA projects to follow same procedures as INDOT projects
- Follow best practices
- Empower people at proper levels to make decisions
- Ensure performance through accountability standards

# Prequalification

- Legal & financial prequalification required for all consultants and subconsultants
- Technical prequalification required for defined work categories

A hand is visible on the left side of the slide, pointing towards the list of requirements. The hand is resting on a document that appears to be a technical drawing or blueprint, with various lines and text visible. The background of the slide is a light blue gradient.

# Legal & Financial Requirements

- Allowable entity type
  - Joint ventures not allowed
- Registered with Indiana Secretary of State
- In good standing with Dept of Revenue & Dept of Workforce Development
- Professional liability insurance

# Legal & Financial Requirements (Cont.)

- Acceptable / auditable accounting system
- Overhead rate package
  - Cognizant agency approved; or
  - FAR Compliant and CPA Certified; or
  - Services less than \$250,000/year...  
self-certified accounting package
  - Not required for Unit price only contracting

# Technical Requirements

- For pre-defined categories, such as:
  - Complex or non-complex roadway design
  - Level 1 or Level 2 bridge design
  - Environmental document preparation
- Not required for less-used services
  - Will be specified on case by case basis in advertisements

# Advertisement

- RFP's scheduled in advance, 3 x per year
- INDOT districts & central office identify projects and services to be advertised and provide the following information to the contracts office:
  - Approved determination of need
  - Documentation of project programming
  - Documentation of funding availability
  - Project / services scope document



# Advertisement (cont.)

- Advertisements will list category prequalifications and any additional special qualifications required
- Two-week advertisement period with advance notice



# Proposals / Statements of Interest

- Statements of interest and proposals submitted directly to initiating INDOT office
- Proposals for programmatic / non-complex projects to include:
  - Technical proposal
  - Key staff list
  - Any requested special qualification information

# Complex/ Unique Project Selections

## Two-Step Process

1. Four teams selected from interest statements
  - Companies submit more extensive proposals
    - ❖ Ten-page technical approach
    - ❖ Key staff
    - ❖ Schedule
  - Scope presentation meeting with selected teams to answer questions
2. Proposals scored using selection evaluation form

# Selection

- Three-person selection committee from initiating office independently scores all proposals
  - Using selection evaluation form
  - Each score sheet is certified with signature

# Selection (cont.)

- The initiating office forwards all evaluation forms to the central office contracts administrator within 21 days
  - Including spreadsheet of scores by evaluator
  - In order, highest to lowest score
  - Including proposals for top 4 scoring firms

# Selection (cont.)

- INDOT's central office selection committee reviews the top scoring firms for each item to verify:
  - No more than 20% of INDOT annual consultant budget to a firm
  - Annual services no more than 200% of consultant's previous year's total wages & Salaries
  - Verifies identified project managers are not over-committed
  - Review to verify good faith efforts for meeting DBE goals

## Selection (cont.)

- Central office selection committee approves one selected firm and 2<sup>nd</sup> & 3<sup>rd</sup> alternates for each item
- Selection determination is forwarded to the Commissioner and Posted to the Consultant Services RFP Website

# Selection / Performance Evaluation Scoring Philosophy

- Selection Scoring
  - +2 Highly Qualified
  - 0 Qualified
  - 1 Slightly Below Desired Qualification
  - 3 Insufficient Qualification
- Performance Ratings
  - +1 Exceeds
  - 0 Satisfactory
  - 1 Needs Improvement
  - 3 Unsatisfactory



# Selection Evaluation Form

Selection Rating for RFP No. ____, Item No. ____					
Consultant Name:		Services Description:			
Category	Scoring Criteria	Scale	Score	Weight	Weighted Score
Disputes	Outstanding Agreement Disputes.			20	0
	No outstanding unresolved agreement disputes > 3 mos. old.	0			
	Outstanding unresolved agreement disputes more than 3 mos. old.	-3			
Past Performance	Historical Performance.				
	Timeliness score from performance database.			15	0
	Quality/Budget score on similar work from performance database.			15	0
	Quality/Budget score on all INDOT work from performance database.			10	0
Capacity of Team to do Work	Evaluation of the team's personnel and equipment to perform the project on time.			20	0
	Availability of additional staff time.	2			
	Adequate available staff time to meet the schedule.	0			
	Insufficient available staff time to meet the schedule.	-3			
Team's Demonstrated Qualifications	Technical expertise: Unique Resources & Equipment that yield a relevant added value or efficiency to the deliverable.			15	0
	Demonstrated unique expertise and resources identified for req'd services for value added benefit.	2			
	Expertise and resources at appropriate level.	0			
	Insufficient expertise and/or resources.	-3			
Project Manager	Rating of predicted ability to manage the project, based on: experience in size, complexity, type, subs, documentation skills.			5	0
	Demonstrated experience in similar type and complexity.	2			
	Experience in similar type and complexity shown in resume.	0			
	Experience in different type or lower complexity.	-1			
	Insufficient experience.	-3			
	Historical Performance of Firm's Project Management from database.			5	0
Approach to Project	Understanding and Innovation that gives INDOT cost and/or time savings.			10	0
	High level of understanding and viable innovative ideas proposed.	2			
	High level of understanding and/or viable innovative ideas proposed.	1			
	Basic understanding of the Project.	0			
	Lack of project understanding.	-3			
Location	Location of assigned staff to office relative to project.			5	0
	Within 15 mi.	1			
	16 to 50 mi.	0			
	51 to 150 mi.	-1			
	151 to 500 mi.	-2			
	Greater than 500 mi.	-3			
	For 100% state funded agreements, non-Indiana firms.	-3			
			<b>Weighted Total</b>	<b>0</b>	
For categories that are not relevant to the particular agreement being evaluated leave the category score as N/A. This is to be as documented in the RFP.					
The scores assigned above represent my best judgement of the consultant's abilities for the rating categories. Signed:					
Date:					

# Agreement Negotiation

- For project-specific agreements, a scoping meeting is to be held by the initiating office within 7 calendar days of selection
- A man-hour justification/fee proposal is due to INDOT within 14 calendar days of project scoping meeting

# Agreement Negotiation (cont.)

- INDOT central office agreement analyst and initiating office's contract/project manager prepare fee estimate and respond to fee proposal within 14 calendar days of receipt
- Additional 14 calendar days allowed for negotiation
  - If not negotiated within this time period, the second alternate becomes the selected firm

# Performance Evaluation

- Completed for all agreements
- Evaluation for each major deliverable
- Cumulative evaluation maintained for each contract
- Project evaluation scores amended by any additional information arising during construction
- Closeout evaluation meetings held at the end of each agreement

# Agreements

- Majority of agreements are expected to be cost plus fixed-fee
- Fixed-fee percentages vary depending on the complexity of work and risk
- Some as-needed services agreements may use negotiated labor rate multiplier or negotiated labor rate

# Agreements (cont.)

- 10 percent retainage will be withheld from progress payments
- Updated and consistent agreement boilerplate
- Streamlined signature process

# Completion To Date

- Agreement boilerplate
  - complete
- Prequalification manual
  - 90% complete
- Audit procedure
  - 80% complete
- Consultant selection procedure
  - 80% complete
- Performance evaluation manual
  - 80% complete
- Consultant procedure manual
  - 70% complete



# Work Remaining

- Completion of previously-mentioned manuals and procedures
- Website conversion
- Systems intranet interfaces and databases
- Standard agreement scope language development
- Training of contracts managers, analysts, project managers

# Next Steps for You

- RFP's to be advertised on August 8<sup>th</sup>  
October 31<sup>st</sup>
- Prequalification will be required for October 31<sup>st</sup> RFP
  - Complete prequalification packages due by September 19<sup>th</sup> to be eligible to submit
  - Exception for CPA certified overhead audit schedule deferring due date until December 30<sup>th</sup> with submittal of self-certified schedule

A close-up of a person's hand, with the index finger pointing towards the left side of the frame. The hand is resting on a blue-tinted architectural drawing or blueprint, which shows various lines and technical details. The background of the slide is a light blue gradient at the top and white below.

# Questions?

**[www.state.in.us/dot/business/](http://www.state.in.us/dot/business/)**